

LETTER FOR OPERATIONS OF ACCOUNT ALL EXCHANGES – VOLUNTARY

These additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure running on a day to day basis between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document. Any such clause introduced shall stand null and void if they dilute the responsibility of the stock broker or is in conflict with any of the clauses in the mandatory documents, Rules, Bye-laws, Regulations, Notices, Guidelines and Circulars issued by SEBI and the stock exchanges from time to time.

To,
RATNAKAR SECURITIES PRIVATE LIMITED
Email info@ratnakarsecurities.com
www.ratnakarsecurities.com

Sir(s),

Re: Letter for operations of account


For the smooth operations of my/our broking account, kindly note my/our following instructions:

- ❖ You are requested to kindly accept my/our verbal instructions to place, modify and cancel the orders and other dealings in our broking account.
- ❖ In the course of business, I/we may deal in various segments (cash, derivatives, currency, interest rate futures, mutual funds, securities lending borrowing, margin trading, etc) of various exchanges (BSE, NSE) that you are members of or any other Stock Exchange/segment membership that you may take in the future. I/We understand that you are required to keep separate ledgers/ accounts for the separate segments and separate Stock Exchanges. There will be many occasions when I/we shall be in credit in one segment/Stock Exchange and not in the other. In such cases, kindly do not refuse my orders placed in the segment/ Stock Exchange where I/we do not have sufficient credits and please utilize the credits lying in others segments/ Stock Exchanges account maintained with yourselves by passing journal entry, bank entry or any other manner or fashion you may deem fit. I/ we request you to kindly do not insist for specific instructions for the same from me/us and the same is not practical for me/us. I/We confirm that entries so made shall be binding on me/us in all circumstances
- ❖ The credits lying in my securities trading accounts with yourself may kindly be utilized against the dues for bills raised for my/our demat accounts maintained with yourselves
- ❖ I/We confirm and undertake that I/we will not deal as a sub-broker/ remisier/ authorized person unless with your prior approval. Under no circumstance will I/ we issue bills/ contracts/ confirmation notes to anyone else for trades done through you for which you have issued contracts in my/our name and thus deal as an unregistered intermediary. The trades done by me/ us under our code are for our own account and no other entity
- ❖ My/Our funds/securities lying with you whether for margins or any other purpose may be used by you at your discretion for placing with Exchanges/ Clearing Houses and Clearing Corporations for the purpose of availing facilities for my/our trades/ positions in a manner as permitted by the Exchanges/ SEBI. The above authorization is for my/own trades/ positions and not for any other client.
- ❖ I/We are aware and agree that as per the SEBI circular no. CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated 20.06.2019 that Ratnakar Securities Pvt Ltd (Now known as "RSPL") shall transfer the securities bought by me/us received in pay-out, to my/our demat account within 1 working day if clear payment is received from the client and if I/We fail to make the payment in full then RSPL shall transfer the securities to the "client unpaid securities account (CUSA)". I/We further agree and confirm that, the securities kept in the CUSA shall either be transferred to my/our demat account upon fulfillment of my/our funds pay-in obligation or it shall be disposed of in the market by RSPL within 5 trading days after the date of pay out without any notice to the client to the extent of debit balance of the client and/or as per Ratnakar Securities Pvt Ltd.'s Risk Management policy and balance securities shall be transferred to the respective client's demat account.

Any profit/loss occurred on such sale transactions of unpaid securities, will be borne by me/us and transferred to/ adjusted in my/our ledger. If any such stock will remain in CUSA due to my/our default, RSPL may charge a fine/penalty as levied by the exchange/depositories to me and I/We shall not object the same.

- ❖ I/We have noted that you trade in your OWN/ PRO account
- ❖ I/We have also noted your website www.ratnakarsecurities.com and the same contains, inter alia
 - a. Policy for dealings with clients
 - b. Policy for dormant accounts
 - c. Risk Management Policy
 - d. Other policies and procedures of your organization relevant to us
 - e. Literature on AML requirements
 - f. Settlement Schedules
 - g. Links to websites of SEBI and Stock Exchanges of which you are a member
 - h. Name and address of Clearing Member of various segments
 - i. Your password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
 - j. Other information that a trading member is required to furnish to his clients
- ❖ We are aware and have noted that that your IBT system itself generates the initial password

_____ (any other point)

 28/29		Client Signature
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(Signature of the Applicant)

Date : ____ / ____ / 20____

Place :

Note: The authorization shall be signed by the client only and not by any authorized person on his behalf or any holder of the Power of Attorney

Confirmation of Receipt of copy of KYC documents for trading account and demat account


To
 The Director
 M/s. Ratnakar Securities Pvt. Ltd
 Ahmedabad – 380006

Date : ____ / ____ / 20____

Ref : Confirmation of receipt of KYC documents for trading account and demat account.

With reference to above, I / We have my / our Trading Account No.: _____ And Demat A/c No. IN300652
 _____ allotted to me / us and I Confirm :

1. I / We have received a photocopy of the duly completed documents viz. Client Registration Form (KYC), Right and Obligations, Risk Disclosure Document, POA and also a Copy of any other document executed by me / us as your client.
2. Further, the trading code / client ID and the unique client code allotted to me / us as your client and the Email ID furnished by me / us has been communicated through the KYC form or otherwise in writing.

	First/Sole Holder	Second Holder	Third Holder
Name			
Specimen Signatures	 29/29	